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Date January 12, 2006 Client-Matter 74577-078

Fax Transmittal

Total Pages (Including Cover)

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Fax No.: 571.273.8300

Company: United States Patent and Trademark Office

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Message

Re: Applicant: Buist, Walter, et al.
Filing Date: April 30, 2001
Serial No. 09/845,224
For: METHOD AND APPARATUS FOR AUCTIONING SECURITIES
Our Reference No. 74577-078

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

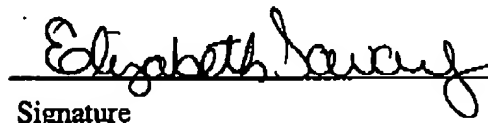
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	09/848,224
	Filing Date	April 30, 2001
	First Named Inventor	Bulet, Walter, et al.
	Title	METHOD AND APPARATUS FOR AUCTIONING SECURITIES
	Art Unit	3828
	Examiner Name	Richard C. Fultz
	Attorney Docket Number	74577-078

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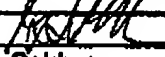
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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/95)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	1/11/06
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Walter Bulst et al.Application No./Patent No.: 09/845,224 Filed/Issue Date: April 30, 2001Entitled: **METHOD AND APPARATUS FOR AUCTIONING SECURITIES**

UBS AG a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

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B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☒ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg J. Goldman
Signature
Gregg J. Goldman
Printed or Typed Name
Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch
Title

1/11/06
Date
203.719.3089
Telephone Number

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Serial No. 09/845,224

Statement Under 37 CFR 3.73 (b)

B. Supplemental Sheet for additional documents in the chain of title.

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